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Health and Human Services”

**Nebraska Health and Human Services
Child Protection and Safety System**

**Guidebook for the Performance
Evaluation Process
For Protection and Safety
Workers, Supervisors and
Administrators**

For additional copies of the Guidebook contact your Human Resources representative. If you have suggestions for improving this Guidebook, contact your Human Resources representative or the Office of Protection and Safety at (402)471-9308. In addition, the Guidebook can be located on the HHSS Finance and Support-Human Resources website.

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Introduction

This Guidebook explains the process of performance evaluations for Protection and Safety Workers, Protection and Safety Supervisors and Protection and Safety Administrators and how to use the Performance Evaluation form. It outlines why we conduct performance evaluations within Protection and Safety, the process and timeframes for conducting evaluations and gives a detailed description of each section of the evaluation tool. In the appendices you'll find an outline of the steps in the performance evaluation process, guides to the timeframes and copies of the evaluation tools.

The Performance Evaluation Process does not apply to Protection and Safety Trainees or Protection and Safety Workers in Probationary status as a result of new employment or as a result of a promotion or transfer into a Protection and Safety position. Trainees and Protection and Safety Workers in Probationary status as defined previously will be assessed using the Protection and Safety Competency Development Process and Tool.

For use of the Performance Evaluation Process for Protection and Safety Supervisors or administrators in Probationary status, see page 4.

The term "administrator" throughout this guidebook refers to any management level staff who supervises staff with the title of Protection and Safety Supervisor or higher. The title "Protection and Safety Administrator (PSA)" is used, when applicable, to designate the individual who serves in that singular function within the Service Area.

Note that a date is located at the bottom right hand side of each page of the Guidebook. The Guidebook was first issued in September, 2004. As revisions to the Guidebook occur, notice will be given to all staff affected and revisions will be reflected with a vertical line to the side of the line changed. In addition, the date at the bottom right hand side will reflect the date changed.

Why Performance Evaluation?

The performance evaluation process is used within Protection and Safety because it:

- Serves as a conduit of performance information from supervisors to employees and vice versa. The performance evaluation process makes performance discussions a regular occurrence, not a once a year report card. These are good times to discuss barriers that are hindering the achievement of goals and expectations so that attention can be given to their removal.
- Helps identify strengths and areas for development.
- Provides a mechanism for the Protection and Safety System to account for our ability internally within the HHSS system and externally with the public and others interested in Protection and Safety.

The Performance Evaluation Process

See Appendix 1 for a step-by-step outline of this process.

The process encompasses:

- Assessment of data regarding established expectations
- Clear expectations of desired behaviors on the job
- Monthly feedback documented on performance notes
- A formal evaluation of performance documented quarterly culminating in an annual evaluation.
- A development plan for building on strengths to improve performance and to enhance those strengths

Except as described below for initial implementation, each performance evaluation cycle is 12 months long covering the twelve month period (four quarters) **prior to the quarter in which the staff person's employment anniversary date falls.** Within that twelve month period, there is one six month evaluation. In addition, an annual evaluation is done, in combination with the evaluation of the second six months of the performance period, to summarize the employee's performance for the previous twelve months.

Reporting quarters are defined as:

- January through March;
- April through June;
- July through September; and
- October through December.

The annual evaluation should include information and ratings from the first six month evaluation and information and ratings from the second six months of the performance evaluation period. The rating for the annual evaluation is the average of the two six-month evaluation periods. The performance evaluation tool is available on the HHSS website under "Finance and Support-Human Resources" and can be detached and used as a template to save each quarter's evaluation information for an employee on a single document. A link to the Human Resources website location can be found on the Protection and Safety internal website.

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When Are Evaluations Due For Non-Probationary Employees?

The first six month evaluation is due by the end of the quarter following the first six months of the performance review period. For example, for the six month period covering the months of January through June, the six month evaluation is due no later than September 30th. September 30th is the end of the quarter following the six month review period. The second six month evaluation is due at the same time as the annual evaluation.

See Appendix 2 for a guide to the timelines for six month evaluations.

Annual evaluations are due by the end of the quarter following the annual review period. For example, if an employee's anniversary date is November 10, 2005, the annual evaluation assesses performance during the four prior quarters and is due no later than December 31, 2005. The four prior quarters for evaluation include: October through December, 2004; January through March, 2005; April through June, 2005; and July through September, 2005. The annual evaluation involves the first six month evaluation as well as the six month evaluation.

See Appendix 2 for a guide to the timelines for annual evaluations.

Example:

- **I was hired on August 17.**
- **My anniversary date falls within the July 1 – September 30 quarter**
- **The performance period for my evaluation is July 1, 2004 through June 30, 2005**
- **My six month evaluation for 2005 will cover the following two PRIOR quarters:**
 - **July 1 – September 30, 2004**
 - **October 1 – December 31, 2004**
- **My second six month evaluation for 2005 will be done in conjunction with my annual evaluation and will cover the following two PRIOR quarters:**
 - **January 1, 2005 – March 31, 2005**
 - **April 1, 2005 – June 30, 2005**
- **My annual evaluation for 2005 will be the average of the ratings from my first six month evaluation and my second six month evaluation. Comments contained in the annual evaluation will focus on progress and/or challenges highlighted between the two six month evaluations (See Appendix 2 and Appendix 3).**

My evaluation is due as soon as possible after June 30, 2005, but no later than September 30, 2005.

When Are Evaluations Due for Employees in Probationary Status?

For PSW Trainees and PSW's in Probationary Status

The Performance Evaluation Process does not apply to Protection and Safety Trainees or Protection and Safety Workers in Probationary status as a result of new employment or as a result of a promotion or transfer into a Protection and Safety position. Trainees and Protection and Safety Workers in Probationary status as defined previously will be assessed using the Protection and Safety Competency Development Process and Tool.

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For PS Supervisors and PS administrators in Probationary Status

For PS Supervisors or PS administrators in Probationary status, the Performance Evaluation Process must be completed prior to the end of the probationary status (original probation or promotion probation). The evaluation will involve the review **of** the following expectations **ONLY**:

- For PS Supervisors, Expectations #17 through #23
- For PS administrators, Expectations #17 through #28

The evaluation is limited to expectations related to management functions. The evaluation of expectations related to casework (# 1 through #16) will be reviewed at the second six month/annual review.

The Performance Evaluation Tool

The Performance Evaluation tool provides a structured method of reviewing performance goals and expectations, clarifying behavior expectations, setting development goals, and rating job performance. Tools for the Protection and Safety Worker, Protection and Safety Supervisor and Protection and Safety Administrator are found in the Appendices of the Guidebook.

The tool is found electronically on the HHSS Finance and Support-Human Resources website. Users have the capability to download these documents to your hard drive.

Part I-A: Performance Goals and Expectations and Behavior Goals and Expectations

Each performance evaluation cycle begins with a review of goals and expectations and behavior expectations and checking the performance expectations that apply to the staff person's function. During this step, the employee and supervisor review any applicable prior data related to performance goals and expectations and set any specific behavior expectations for the upcoming performance cycle.

The employee and supervisor are both responsible for developing any specific behavior expectations. After the employee and supervisor have reviewed the performance goals and expectations and the behavior expectations, both sign and date the form at the bottom of the page. The supervisor will then give a copy to the employee.

Part I-B: Evaluation

Each goal receives a numeric rating from 1 to 5. You will notice that when an expectation is at a 100% level, the highest rating (5) is achieved when you "Meets Expectation". When the expectation is lower than 100%, the rating for "Meets Expectation" is 3. Performance below the level identified to meet the expectation includes a rating of 0, 1 or 2. Performance above the expectation includes a rating of 4 or 5. Percentages to coincide with ratings are provided for those areas in which data is used to evaluate performance. The numerical rating applies to data at the percentage point for that rating up to the percentage point for the next rating. For example, if rating "3" is at 90% and rating "4" is at 95%, and the staff person's performance is at 91%, the rating for that performance standard would be "3". Data used for this purpose is located in the HHSS Yellow Pages. Go to "Program Reports" and select "Protection and Safety Management Reports". From there, launch and open the document called "Performance Measures Tracking Summary". Open the excel files called "safeperm.xls" or "PerMeasSumm.xls".

Documentation is required for any rating that falls below or above “Meets Expectation”. Documentation should be included in the “Summary Comments” section.

NOTE: It is recognized that data provides a very concrete method of assuring a level of performance. However, there are factors that impact a specific employee’s data. This could include illness, additional workload coverage, unanticipated increases in numbers of intakes or of children who are made wards of the state. **The performance evaluation is not and should not be viewed as data driven only. It is recognized that there are other factors impacting performance and these factors can and should be taken into account in determining a ranking on a specific performance item.** For example, if an employee was absent from work due to an extended illness, it would not be reasonable to expect the employee to meet the expectation for visits. The data would reflect that the employee’s performance during this timeframe was “Below Expectation”. However, the employee and supervisor should discuss the impact of the employee’s absence on the performance expectation and must consider the performance during the time the factor was not present. Information considered should be noted in the “Summary Comments” section. The rating for the timeframe may then reflect “Meets Expectation”. **Any rating that falls in the category of “Below Expectation” as a result of data but is adjusted to “Meets Expectation” after consideration of other factors, must have approval of the Protection and Safety Administrator (PSA) prior to finalizing the evaluation. For evaluation of a Protection and Safety Administrator (PSA), any rating that falls in the category of “Below Expectation” as a result of a data but is adjusted to “Meets Expectation” after consideration of other factors, must have approval of the HHS Director prior to finalizing the evaluation.** Factors other than those identified in this section should be discussed with the Protection and Safety Administrator and may be considered for adjustment to a performance rating.

Part II: Behavior Evaluation

Part II of the tool details 5 key behaviors that every person in HHSS is responsible to demonstrate. The behaviors include how we work and interact with our co-workers, associates and families.

A number of specific ways to demonstrate each behavior is outlined in order to make it clear what is required to meet or exceed the expectations. No one is expected to demonstrate **all** of the specific behaviors listed for each. The supervisor may add other specific behaviors within each of the 5 key behavior areas.

Part III: Evaluation Summary

Part III summarizes the numeric ratings received on each performance expectation and on each behavior expectation. This is also where the overall score is computed and posted at the six month performance evaluation meeting or at the second six month/annual evaluation meeting. Computation of the overall score is obtained by adding the final sum of the expectation section and the sum of the behavior expectation section (Parts I and II) and dividing that sum by 2 and rounding to the first decimal place.

A column is for ratings of performance expectations for the first six months of the performance review period, the second six months of the review period and for the annual review. The annual review rating for each performance expectation and for the average numeric rating for all performance expectations is the average of the rating for the first six months and the second six

months. For example, for Expectation 1, if the rating for the first six months is “3” and the rating for the second six months is “5”, the rating for the annual evaluation is “4” (3 plus 5 divided by 2).

Room is available to provide specific comments on performance related to work expectations and behavior expectations. The immediate supervisor and the employee both sign and date this page to document that performance was discussed and evaluated. A signature by the employee does not mean agreement with the ratings or the supervisor’s comments. Employees may add a response if in disagreement (See Part V.) This is important feedback and is encouraged. The likelihood of disagreement is prevented with regular feedback throughout the review period that is well documented on the performance notes—see the Performance Note section (p. 7).

Part IV: Development Plan

Part IV of the Form has two parts:

- a list of the employee’s strengths and areas needing development and
- the development plan.

The employee and supervisor are encouraged to build on strengths—especially as strategies to overcome and diminish performance challenges that are identified. The employee and supervisor both have unique insights that are valuable as the suggested questions are discussed and the strategies completed.

Here again, the employee and supervisor sign and date the document. This shows the collaboration in its creation and commitment to following through on the agreed-upon plan. Both parties are responsible for its success.

Part V: Employee Comments

Part V of the tool is for the employee’s written comments on any aspect of the performance evaluation process. Here the employee can provide evidence of behaviors or results that may not have been recognized. The employee can also provide feedback to the supervisor on what he or she appreciated about the process used and the degree of support provided in eliminating roadblocks to achieving or exceeding expectations. In other words, both positive and negative feedback can be communicated in this section.

The comments section is signed and dated by the employee and becomes part of the documentation for the performance cycle. The supervisor may respond with a written or verbal reply. The written reply should be discussed and signed and dated by both the employee and supervisor and should be included as an attachment to the rest of the evaluation.

Performance Notes

Although a more formal evaluation is conducted every six months and annually, performance should be part of regular communication between the employee and supervisor. The “Performance Note” form is a tool intended for use at any time but, at a minimum, at the time of the six month and annual evaluation. Performance notes provide the employee and supervisor the opportunity to document performance throughout the performance cycle. The documented performance can be positive or require improvement. This tool sparks discussion and promotes communication. It is anticipated that the performance note will be used most often to celebrate and recognize positive contributions and outcomes.

When performance notes are used at the time of the six month or annual evaluation meeting as documentation for a given rating, the notes can be referenced as an attachment to the evaluation to save time. A note or combination of notes can become the starting point of a performance development plan or to document progress on a development plan already established.

Nothing should be put on the performance note by the supervisor unless it is shared with the employee and vice versa. That is why the signatures and dates from both are required.

Use of the performance note needs to follow the **guidelines of good performance feedback**:

- **Timely**—given as soon as possible after the performance takes place
- **Individualized**—tailored to the feedback receiver
- **Productive**—focuses on the performance rather than the performer
- **Specific**—pinpoints observable action and behavior

Performance Expectations for PS Supervisors and administrators in Probationary Status

As mentioned on page 5, “When Are Performance Evaluations Due for PS Supervisors and administrators”, the Performance Evaluation Process must be completed prior to the end of the probationary status (original probation or promotion probation). The evaluation will include the review of **the Behavior Expectations and, in addition, will include the following expectations ONLY**:

- For PS Supervisors, Expectations #17 through #23
- For PS administrators, Expectations #17 through #28

The evaluation is limited to expectations related to management functions. The evaluation of expectations related to casework (# 1 through #16) will be reviewed at the second six month/annual review.

APPENDICES

Appendix 1: The Performance Evaluation Process

Appendix 2: Timelines for Six Month and Annual Evaluations

Appendix 3: Sample Performance Evaluation Due Dates

Appendix 4: The Protection and Safety Worker Evaluation Tool

Appendix 5: The Protection and Safety Supervisor Evaluation Tool

Appendix 6: The Protection and Safety Administrator Evaluation Tool

Appendix 1: The Performance Evaluation Process

- Step 1:** The supervisor identifies the performance goals and expectations specific to the employee's work function within Protection and Safety (e.g. Intake Worker's expectations, Supervisor expectations, etc.)
- Step 2:** The supervisor checks the relevant performance goals and expectations.
- Step 3:** The supervisor and employee meet and the supervisor explains the performance goals and expectations and the behavior expectations to the employee.
- Step 4:** The employee signs the Performance Evaluation cover sheet (Part 1-A). (Note: the employee's signature is an acknowledgement that the performance goals and expectations checked for the employee and the behavior expectations were reviewed and explained by the Supervisor).
- Step 5:** A copy of the cover sheet (Part I-A) is given to the employee; one copy is retained in the supervisor's notebook for the employee and; the original is sent to the Human Resources Manager.
- Step 6:** During monthly meetings, the supervisor and employee discuss progress and challenges in meeting expectations. Specific progress and feedback are documented on the "Performance Note" and signed by the supervisor and employee. At a minimum, the supervisor and employee discuss performance data quarterly.
- Step 7:** For permanent employees, the six month evaluation is conducted and the evaluation is signed by the supervisor and employee. Ratings range from 0 to 5. If the rating falls "Below Expectation", the supervisor and employee complete and sign a "Development Plan"(Part IV). The employee may also complete "Employee Comments"(Part V).
Note: for PS Supervisors and administrators in Probationary Status, the first evaluation must be completed prior to the end of the probationary evaluation period (See "When Are Performance Evaluations Due for PS Supervisors and PS Administrators in Probationary Status", page 5 and "Performance Expectations for PS Supervisors and administrators in Probationary Status", page 8).

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Step 8: A copy of the six month evaluation (and “Development Plan” if applicable) is given to the employee; one copy is retained in the supervisor’s file for the employee.

Step 9: An annual evaluation is conducted and the evaluation is signed by the supervisor and employee. If a rating falls “Below Expectation”, the supervisor and employee complete and sign a “Development Plan”(Part IV). The employee may also complete “Employee Comments” (Part V).

Step 10: A copy of the annual evaluation is given to the employee; one copy is retained in the supervisor’s file for the employee and the original is sent to the Human Resources Manager.

Appendix 2: Timelines for Six Month and Annual Performance Evaluations

STAFF NAME	ANNIVER. DATE For Permanent Employees	FIRST SIX MONTH EVAL. COVERS PRIOR QUARTERS	FIRST SIX MONTH EVAL DUE DATE (end of quarter following evaluation period)	SECOND SIX MONTH EVAL. COVERS PRIOR QUARTERS	ANNUAL EVAL. COVERS PRIOR QUARTERS	SIX MONTH AND ANNUAL EVAL. DUE DATE (end of quarter following evaluation period)
Regina	Mar. 27, 2006	Jan.-Mar., 2005 Apr.-June, 2005	Sept. 30, 2005	July-Sept., 2005 Oct.-Dec., 2005	Jan.-Mar., 2005 Apr.-June, 2005 July-Sept., 2005 Oct.-Dec., 2005	Mar. 31, 2006
Amber	Apr. 15, 2006	Apr.-June, 2005 July-Sept., 2005	Dec. 31, 2005	Oct.-Dec., 2005 Jan.-Mar., 2006	Apr.-June, 2005 July-Sept., 2005 Oct.-Dec., 2005 Jan.-Mar., 2006	June. 30, 2006
Tom	Aug. 1, 2005	July-Sept., 2004 Oct.-Dec., 2004	Mar. 31, 2005	Jan.-Mar., 2005 Apr.-June, 2005	July-Sept., 2004 Oct.-Dec., 2004 Jan.-Mar., 2005 Apr.-June, 2005	Sept. 30, 2005
Emily	Nov 30, 2005	Oct.-Dec., 2004 Jan.-Mar., 2005	June 30, 2005	Apr.-June, 2005 July-Sept., 2005	Oct.-Dec., 2004 Jan.-Mar., 2004 Apr.-June, 2005 July-Sept., 2005	Dec. 31, 2005

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APPENDIX 3: SAMPLE PERFORMANCE EVALUATION DUE DATES

STAFF NAME For Permanent Employees	ANNIVER. DATE	FIRST SIX MONTH EVAL. COVERS PRIOR QUARTERS	FIRST SIX MONTH EVAL DUE DATE (end of quarter following evaluation period)	SECOND SIX MONTH EVAL. COVERS PRIOR QUARTERS	ANNUAL EVAL. COVERS PRIOR QUARTERS	SIX MONTH AND ANNUAL EVAL. DUE DATE (end of quarter following evaluation period)
Regina	Mar. 27, 2006	Jan.-Mar., 2005 Apr.-June, 2005	Sept. 30, 2005	July-Sept., 2005 Oct.-Dec., 2005	Jan.-Mar., 2005 Apr.-June, 2005 July-Sept., 2005 Oct.-Dec., 2005	Mar. 31, 2006
Amber	Apr. 15, 2006	Apr.-June, 2005 July-Sept., 2005	Dec. 31, 2005	Oct.-Dec., 2005 Jan.-Mar., 2006	Apr.-June, 2005 July-Sept., 2005 Oct.-Dec., 2005 Jan.-Mar., 2006	June. 30, 2006
Tom	Aug. 1, 2005	July-Sept., 2004 Oct.-Dec., 2004	Mar. 31, 2005	Jan.-Mar., 2005 Apr.-June, 2005	July-Sept., 2004 Oct.-Dec., 2004 Jan.-Mar., 2005 Apr.-June, 2005	Sept. 30, 2005
Emily	Nov 30, 2005	Oct.-Dec., 2004 Jan.-Mar., 2005	June 30, 2005	Apr.-June, 2005 July-Sept., 2005	Oct.-Dec., 2004 Jan.-Mar., 2004 Apr.-June, 2005 July-Sept., 2005	Dec. 31, 2006

July, 2005